



## Express Mail No.: <u>EL 477 034 015 US</u>

## IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Application of: Bernard J. Albanese and Barry M. Mindes

Application No.: 09/972,480

972,480 Group Art Unit: 2161

RECEIVED

Filed: October 5, 2001

Examiner: To be assigned

FER 0 4 2002

: SYSTEM AND METHOD FOR PROTECTING POSITIONS IN

VOLATILE MARKETS

Attorney Docket No.: 8085-007

1.0M

## <u>INFORMATION DISCLOSURE STATEMENT</u> <u>UNDER 37 C.F.R. 1.97 AND 1.98</u>

COPT

Assistant Commissioner for Patents Washington, D.C. 20231

Sir:

In accordance with the duty of disclessinform the Patent and Trademark Office of all references. Applicants or Attorneys for Applicants which are or claimed invention, enclosed is a List of References references in chronological order for the Examinare enclosed for the Examinare enclosed for the Examinary convenience.

Identification of the above-list
admission of Applicants or Attorneys for App
"prior art" against the subject application. Co
use form PTO-1449, since that form identifie
Art." As an alternative, Applicants submit
"List of References Cited by Applicant."

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Applicants respectfully request that the Examiner review all the references identified on the attached revised Form PTO 1449, and that they be made of record in the file history of the above-captioned application.

No fee is believed to be due for this submission, since the Information

Disclosure Statement is being made before an initial Office Action on the merits of the above-identified application. Should any fee be required, however, please charge such fee to Pennie & Edmonds LLP Deposit Account No. 16-1150. A duplicate of this sheet is enclosed for accounting purposes.

Date: January 22, 2002

Respectfully submitted,

By: Leo Merken

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Enclosures